



DELBERT HOSEMAN
Secretary of State

INVESTOR COMPLAINT FORM

DIRECTIONS:

The information you provide on this form is important to enable the Division to investigate your complaint. Please furnish specific and detailed information, answer all questions which are applicable to your situation, and be clear and complete in your answers. Failure to provide all relevant information may delay the processing of your complaint.

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INVESTOR INFORMATION

Full Name _____ Date _____

Address _____ County _____

City/State/Zip _____ Work Phone _____

Occupation _____ Home Phone _____

FACTS AND CIRCUMSTANCES

1. Against whom are you filing this complaint? Please provide name, address, and telephone.

2. Date and means of initial contact (E.g., newspaper ad, mail, telephone solicitation, referral, etc.). Who made the initial contact?

3. State the full name of the person who sold the investment to you.

4. Other names associated with the person who sold the investment to you, such as a brokerage firm, company, or other principals or associates, etc. Please provide names, addresses and telephone numbers.

5. The following information relates to the actual investment you made. Please provide complete factual data.

a. Name of Investment _____

b. Type of Investment (E.g., stocks, bonds, limited partnership interests, joint venture, etc.)

c. Date of Investment _____

d. Number of Shares or Interests Purchased _____

e. Price Per Share/Total Purchase Price _____

f. Where did this transaction take place? Who was present?

g. How did you pay for this investment (E.g., cash, check, money order, wire transfer, etc.)?

6. What were you told that made you decide to invest, such as, the type of profits you might receive, how risky or safe the investment would be, information about the future value of your investment, etc.? Who told you this?

7. What were you told about how the company was going to use your funds?

8. Did you make the company/salesperson aware of your financial situation, investment objectives, and/or your risk tolerance? If so, what was said, to whom, and when?

9. How frequently were you in contact with the company/your salesperson? With whom were you in contact and what did you discuss?

10. Were you encouraged to invest more money in the same or similar investment? If so, what was said to you, by whom, and when?

11. Specifically, describe your complaint:

12. Mindful that the Division cannot recover money on your behalf, how would you like your complaint to be resolved? Please be specific.

13. Describe any contacts you have had with the company/your salesperson concerning your complaint. Please forward copies of any correspondence and other documents between you and the company/your salesperson.

14. Have you contacted any other agency regarding your complaint? If so, please furnish the name of the agency, when filed, and status if known.

15. Have you contacted a private attorney about this matter? If so, please include the attorney's name, address, and telephone.

16. If you are aware of anyone else who has made a similar investment, please provide names and addresses.

17. Have you ever invested in this type of investment before? If so, please describe your past experiences. _____

OTHER INFORMATION

Documentary evidence is especially important. Please forward copies, not originals, of the front and back of your canceled checks, confirmations, statements, correspondence, certificates, prospectuses, and any other written materials pertaining to your complaint. If you need more space, please feel free to attach additional pages. Return your documents and completed complaint form to:

Securities and Charities Division
Secretary of State's Office
P.O. Box 136
Jackson, MS 39205-0136

NOTICE

Your complaint will remain confidential pursuant to Mississippi Securities Act Rule 121. It is unlawful for any person to make or cause to be made, in any document filed with the Secretary of State or in any proceeding, any statement which is, at the time and in the light of the circumstances under which it is made, false or misleading in any material respect. Miss. Code Ann. § 75-71-505 (2009).

Signature

Date